

*patent application serial no.*

**09/700072**

*Department of Commerce  
Patent and Trademark Office  
fee record*

11/14/2000 AGIZAM 00000070 09700072

01 FC:970 860.00 DP

526 Rec'd PCT/PTO 10 NOV 2000

Prepared from  
FORM PTO-1390

Transmittal Letter to the United States  
Designated/Elected Office (DO/EO/US)

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Customer No.	026418	
Attorney's Docket No.:	GK-JEN-2074 / 500347.20059	
U.S. Application No.:		
International Application No.:	PCT/DE00/00802	
International Filing Date:	MARCH 09, 2000	09 MARCH 2000
Priority Date Claimed:	MARCH 11, 1999	11 MARCH 1999
Title of Invention:	LASER-COMPATIBLE NIR-MARKER DYES	
Applicant(s) for (DO/EO/US):	Peter CZERNEY and Frank LEHMANN	

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- ☒ 1. This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
  - ☐ 2. This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
  - ☐ 3. This express request to begin national examination procedures [35 U.S.C. 371 (f)] at any time rather than delay examination until the expiration of the applicable time limit set forth in 35 U.S.C. 371(b) and PCT Articles 22 and
  - ☐ 4. A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
  - ☒ 5. A copy of the Publication No WO 00/53678 14SEP00 ~~International Application as filed~~ [35 U.S.C. 371(c)(2)]
    - a) ☐ is transmitted herewith (required only if not transmitted by the International Bureau)
    - b) ☐ has been transmitted by the international Bureau
    - c) ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
  - ☒ 6. A translation of the Publication No WO 00/53678 14SEP00 ~~International Application~~ into English [35 U.S.C. 371(c)(2)]
  - ☐ 7. Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)]
    - a) ☐ are transmitted herewith (required only if not transmitted by the International Bureau)
    - b) ☐ have been transmitted by the International Bureau
    - c) ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d) ☐ have not been made and will not be made
  - ☐ 8. A translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)]
  - ☒ 9. A oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)]
  - ☐ 10. A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)]
- Items 11. to 16. below concern other document(s) or information included:
- ☐ 11. An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98
  - ☒ 12. An Assignment document for recording. A separate cover sheet (PTO-1619A) in compliance with 37 CFR 3.28 and 3.31 is included.
  - ☒ 13. x A FIRST preliminary amendment  
A SECOND or SUBSEQUENT preliminary amendment
  - ☐ 14. A substitute specification
  - ☐ 15. A change of power of attorney and/or address letter
  - ☒ 16. (other items or information) Forms: PCT/IB/308 dated 14SEP00 and EP/SR PCT/ISA/210 dated 12JUL00 (attached to the publication).

EXPRESS MAIL No.: EL 645 881 068 US

Deposited: November 10, 2000

I hereby certify that this correspondence is being deposited with the United States Postal Service Express mail under 37 CFR 1.10 on the date indicated above and is addressed to: BOX PCT, Assistant Commissioner for Patents, Washington, DC 20230.

/Ruth Montalvo

Date: 10 NOV 2000

09/700072

532 Rec'd PCT PTO 10 NOV 2000

U.S. Application No. (if known, 37 C.F.R. 1.50):  
 International Application No.: P E00/00802

Attorney's Docket No. K-JEN-2074 / 500347.20059

CALCULATIONS PTO

[X] 17. The following fees are submitted:

BASIC NATIONAL FEE [37 CFR 1.492(a)(1)-(5)] \$860.00  
 [X] Search Report has been prepared by the EPO or JPO..... \$690.00  
 [ ] International preliminary examination fee paid to USPTO [37 CFR 1.482].... \$690.00  
 [ ] No International preliminary examination fee paid to USPTO [37 CFR 1.482]  
 but International search fee paid to USPTO [37 CFR 1.445(a)(2)]..... \$710.00  
 [ ] Neither International preliminary examination fee [37 CFR 1.482] nor  
 International search fee [37 CFR 1.445(a)(2)] paid to USPTO..... \$1,000.00  
 [ ] International preliminary examination fee paid to USPTO [37 CFR 1.482]  
 and all claims satisfied provisions of PCT Article 33(1)-(4)..... \$100.00

\$860.00

ENTER APPROPRIATE BASIC FEE AMOUNT:

Claims	Number Filed		Number Extra	Rate
Total Claims ( Prel.Amt)	13	-20		x \$ 18. =
Indep. Claims	2	-03		x \$ 80. =
				+ \$ 270. =

[ ] Multiple Dependent Claim(s) (if applicable)

TOTAL OF ABOVE CALCULATIONS:

\$860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than [ ] 20 [ ] 30 months  
 from the earliest claimed priority date [37 CFR 1.492(e)]

TOTAL OF ABOVE CALCULATIONS:

\$860.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement  
 must be filed. [Note 37 CFR 1.9, 1.27, 1.28]

\$0.00

SUBTOTAL:

\$860.00

Processing fee of \$130.00 for furnishing the English Translation later than [ ] 20 [ ] 30  
 months from the earliest claimed priority date [37 CFR 1.492(f)]

\$0.00

TOTAL NATIONAL FEE:

\$860.00

Fee for recording the enclosed assignment [37 CFR 1.21(h)] The assignment must be  
 accompanied by an appropriate cover sheet (PTO-1619A [37 CFR 3.28, 3.31]. \$ 40.00 +

\$ 40.00

TOTAL FEE(S):

\$900.00

AMOUNTS TO BE  
 REFUNDED OR CHARGED

REFUNDED \$  
 CHARGED \$

(Please note the filing fee is based on the claims in the Preliminary Amendment)  
 [X] Check in the amount of \$ 900.00 to cover the above fees is enclosed. (The Commissioner is hereby authorized  
 to charge any additional fees required with this submission or to credit any overpayment to Deposit Account  
 No: 50-1529.)

NOTE: Where an appropriate time limit under 36 CFR 1.494 or 1.495 has not been met, a petition to revive  
 [37 CFR 1.137(a) or (b)] must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Gerald H. Kiel, Esq.  
 Reed Smith LLP  
 375 Park Avenue  
 New York, NY 10152

Gerald H. Kiel  
 Name (Tel. (212) 986-4090)

Signature

25,116  
 Reg. No

November 10, 2000  
 Date

UNITED STATES PATENT AND TRADEMARK OFFICE ANNEX U.S. 111

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**VERIFICATION OF A TRANSLATION**

I, the below named translator, hereby declare that:

My name and post office address are as stated below:

That I am knowledgeable in the English language and in the language in which the below-identified international application was filed, and that I believe the English translation of the international application PCT/DE00/00802 is a true and complete translation of the above-identified international application as filed.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date October 26, 2000

Full name of the translator Daniel Cooper

Signature of the translator 

Post Office Address 1310 Felicity Street, New Orleans, LA 70130

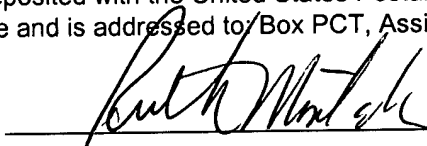
EXPRESS MAIL No.: EL 645 881 068 US

Deposited: **November 10, 2000**

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**532 Rec'd PCT/PTO 10 NOV 2000**

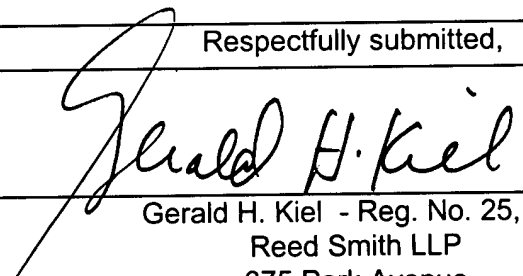
E-MAIL: User@REEDSMITHH.COM

 / **Ruth Montalvo**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Customer No.	026418
Docket No.:	GK-JEN-2074 / 500347.20059
Applicant(s):	Peter CZERNEY and Frank LEHMANN
Serial No.:	(Nat'l Ph.of PCT/DE00/00802 09MAR00)
Filed:	
For:	LASER-COMPATIBLE NIR-MARKER DYES

**National Phase of PCT Application No. PCT/DE00/00802 filed 09 MARCH 2000**

<b>TRANSMITTED HERewith IS THE FOLLOWING</b>	
X	Transmittal Letter to the United States Designated/Elected Office (PTO-1390);
X	Executed Declaration/POA;
X	Preliminary Amendment (Claims 13/2);
X	Verified English language translation of Publication No. WO 00/53678 14SEP00 (13 pgs of Specification, 5 pgs of Claims and Seven (7) sheet of Drawings - Figs. 1 - 12);
X	PCT/IV/308 dated 14SEP00;
X	Publication No. WO 99/57513 published 11NOV99 with PCT/ISA/210 dated 12JUL00;
X	PTO-1619A and an Assignment;
X	Check in the amount of \$ 860.00.
<b>The Commissioner is hereby authorized to charge any additional fees required with this submission or to credit any overpayment to Deposit Account No: 50-1529.</b>	
Respectfully submitted,	
	
November 10, 2000 GHK:ram Enclosures: - as listed above -	Gerald H. Kiel - Reg. No. 25,116 Reed Smith LLP 375 Park Avenue New York, NY 10152